

**MN Department of Human Services**  
**Social Services Manual**

**Adoption Service, Continued**

**XIV-2000**

Based on statutes and rules in effect as of 08/01/2000

**XIV**

**Adoption Services, Continued**

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**Birth Parent Statement of Understanding (Model)**

**XIV-2110**

**Purpose and Use**

This statement is a model, which the agency uses with the birth parent that has decided to place the child for adoption. This statement is used in conjunction with **the Agreement Conferring Authority to Place (DHS 2002)** or **Consent of Parent to Adoption and Waiver of Notice of Hearing (DHS 1957)**.

The statement is not a legal document but is used to ensure that the birth parent understands the decision to place the child for adoption.

**Number of Copies**

There must be an original and two copies. One copy is given to the birth parent. The agency retains the original and one copy. At the time of legal adoption, the original becomes part of the agency's Report to Court.

**General Instructions**

This form is a model, which the agency may duplicate or print on agency letterhead. An original and two copies must be used unless the agency decides to make two photocopies at the time the original is completed. The original must be signed by the birth parent, with two witnesses and agency representative and notarized.

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### **Agreement Conferring Authority to Place for Adoption (DHS 2002)**

**XIV-2111**

#### **Purpose and Use**

This form is used primarily by Minnesota licensed child-placing agencies. When executed by the parent and accepted by the Minnesota licensed child-placing agency, it constitutes a legally binding release of the child to an agency for adoption unless revoked within 10 working days. The document gives the agency the authority to place the child and to consent to the child's adoption. At the time of legal adoption, the original becomes a part of the court adoption record. The copies retained by the agency and the Commissioner become a part of the agency's confidential adoption records.

A local social services agency may use this method of freeing a child for adoption. This agreement does not commit the child to the guardianship of the Commissioner of Human Services.

#### **Number of Copies**

Each set contains an original and three copies.

#### **General Instructions**

The licensed child-placing agency and parent(s) complete and execute this form with the required witnesses on the original and three copies. The licensed child-placing agency accepting the surrender retains the original and one copy. The pink copy is sent to the state agency adoption section. If another agency initiates the form on behalf of the licensed child-placing agency accepting the agreement, the referring agency retains the yellow copy for its record. Each parent releasing the child also has a right to have a copy of this document.

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### **Consent of Parents or Guardian of Minor Parent to the Placement of the Child (DHS 1834)**

**XIV-2112**

#### **Purpose and Use**

This form is used for agency adoptions. When it is executed, it constitutes the consent of the minor's parents or guardian to the minor's release of the child for adoption. The release must be to the licensed child-placing agency or the local social services agency. At the time of legal adoption, the original document becomes part of the court adoption record. All copies become confidential documents in the agency's and the Commissioner's adoption records.

#### **Number of Copies**

Each set contains an original and three copies.

#### **General Instructions**

The agency and parents complete and execute this form on the original and three copies. The licensed child-placing agency or the local social services agency accepting the consent retains the original and one copy. The agency sends the pink copy to the state agency adoption section. If another child-placing agency initiates the form on behalf of the licensed child-placing agency accepting the consent, the referring agency retains the yellow copy for its record. The person(s) signing this document has a right to have a copy.

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**Consent of Parent to Adoption and Waiver of Notice of Hearing (DHS 1957)**

**XIV-2113**

**Purpose and Use**

This form is used in a non-agency adoption, such as a relative or direct adoption, where the parent's consent is required to be executed before two witnesses and an agency representative. The parent has the right to withdraw this consent within ten working days following executing it.

When a parent resides out of state, the attorney may obtain the consent according to the requirements of the other state.

When a parent is a minor, consent of the parent's parents or legal guardian, is also required. (See SSM XIV-2114 for the form)

**Number of Copies**

An original and three copies must be executed by the person giving consent and notarized by a person other than the two witnesses and the agency representative.

**General Instructions**

The original must be filed in the court prior to the hearing on the petition. The agency retains one copy and sends one copy to the state agency adoption section. The person giving consent also has a right to retain a copy of this document for his records.

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#### **Consent of Parents or Guardian of Minor Parent to the Adoption of the Child (DHS 3197)**

**XIV-2114**

##### Purpose and Use

The form is used in non-agency adoptions. It is executed before the agency representative and two witnesses usually in the consenter's county of residence (see SSM XIV-1252). When a minor parent consents to an adoption (see consent form in SSM XIV-2114), the consent of that parent's parents or guardian is also required. The consentors may withdraw the consent in writing within ten working days of execution. The consent is required to be filed with the court before a hearing on the adoption petition.

##### Number of Copies

An original and three copies are needed. The original copy of the consent is filed in the court with the adoption petition or is filed by the Commissioner with the recommendation and **Report to Court (DHS 188)**, see SSM XIV-2132. The consentors receive one copy and the agency retains one copy for its file.

##### General Instructions

This form is used in non-agency adoptions where the child's parent(s) are minors under age 18 years of age. The minor's parent(s) or legal guardian(s) are also required to consent to the adoption. The form is not preprinted; the agency may photocopy this form to use as needed.

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**Consent of Child Over 14 Years of Age (DHS 1956)**

**XIV-2115**

**Purpose and Use**

This form is used whenever the child to be adopted is 14 years of age or older.

This form is executed before two witnesses and an agency representative.

When a person whose consent is required resides out of state, the attorney may obtain a consent executed according to the laws of the other state.

**Number of Copies**

An original and three copies must be executed by the person giving consent and notarized by a person other than the witnesses and the agency representative.

**Distribution of Copies**

1. The original must be filed in the court prior to the hearing on the petition.
2. The agency retains a copy and sends one copy to the state agency adoption unit.
3. The person providing consent has a right to retain a copy for the person's own records.

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### **Child Registration (DHS 0967) (SSIS 74)**

**XIV-2116**

#### **Purpose and Use**

The licensed child-placing agency shall use this form to register a child on the State Adoption Exchange. The form provides a brief summary of the child, his background, and his needs. The content of this form and the attached description are used as the basis for selection of prospective families by the State Adoption Exchange. The photograph and description are also used for featuring the child in the Minnesota Waiting Children photo exchange book.

#### **Number of Copies**

Three copies must be sent to the State Adoption Exchange with the child description and pictures of the child. The agency retains the white copy in the agency record on the child.

#### **General Instructions**

The agency must complete this form as space on it allows. The child's worker signs and dates this form before submitting it to the State Adoption Exchange. Whenever the child is capable of participating, the agency must allow the child to write about himself if he so chooses. The child also has the right to know what is written about himself and to sign the description.

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### **Affidavit of Child Over Fourteen on Adoption (Model)**

**XIV-2117**

#### **Purpose and Use**

When the child, who is over fourteen and under agency guardianship, makes the choice not to be adopted, the agency must assist the child in executing an affidavit. The model form may be used on agency letterhead and adapted as required.

#### **Number of Copies**

There must be an original and two copies.

The agency may photocopy this form as necessary.

#### **General Instructions**

The child's signature on the affidavit must be notarized. The child's worker who has counseled with the child must witness the affidavit.

The original affidavit must be sent to the state agency adoption section, one copy filed in the agency record and one copy given to the child.

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### **State Adoption Exchange: Adoptive Applicants (DHS 0968)**

**XIV-2118**

#### **Purpose and Use**

The licensed child-placing agency and local social services agency must use this form to register an approved adoptive family on the State Adoption Exchange. The form provides a brief summary of the family makeup, the family functioning and an outline of the kinds of children for whom the family may be considered. The State Adoption Exchange uses this form in selecting family registrations for the child's agency to review.

#### **Number of Copies**

The agency must:

1. complete this form on three copies,
2. submit two copies to the State Adoption Exchange, with a picture of the family attached to one copy,
3. retain one copy in the agency's record.

#### **General Instructions**

Complete this form as space on it allows. The agency may allow the adoptive family to assist the agency in completing this form and to add a paragraph under the "Characteristics of This Family" section. The form should accurately reflect the family and the kinds of children they may consider.

The family's worker signs and dates this form before submitting it to the State Adoption Exchange.

The agency may send the State Adoption Exchange minor revisions or updates of this form by memorandum. Major changes require a new form but the agency retains the original date of submission to the State Adoption Exchange.

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### **Adoption Placement Agreement (DHS 0312)**

**XIV-2119**

#### **Purpose and Use**

Completion of this form constitutes the official placement agreement between adoptive parents and the Commissioner of Human Services at the time of the adoptive placement of a child under the guardianship of the Commissioner. The agreement states the responsibilities assumed by each party.

In the event that two or more children are placed simultaneously with the same family, a separate set of agreement forms must be completed for each child.

#### **Number of Copies**

This form is a set of three copies, one for each of the parties signing the agreement. The parties are the adoptive family, the local agency and the state agency.

#### **Instructions for Completion**

This form is prepared in one of two ways:

1. Whenever this form is prepared by the state agency adoption section prior to the child's placement, it is signed by the Commissioner's delegated representative. When the agency and family complete the form upon placement, the family retains one copy; the placing agency retains one copy and returns one copy to the state agency adoption unit.
2. In placements when this form is initiated by the local social services agency or a licensed child-placing agency, all three copies are completed upon the child's placement and sent to the state agency adoption section for approval by the authorized representative in the Children's Services. The state agency adoption section returns two copies to the agency, one of which is given to the adoptive family.

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**Report of Adoptive Placement or Petition (DHS 178) (SSIS 75)**

**XIV-2120**

**Purpose and Use**

This report form is used by the local social services and licensed child-placing agencies to report each adoptive placement and the statistical data on the placement or petition. The state agency adoption section uses the form to track each agency and non-agency adoption in the state. Non-identifying data from the report forms is used for developing adoption statistics.

**Number of Copies**

Send the state agency adoption section the number of copies as requested in the instructions attached to the forms.

**General Instructions**

Accuracy of statistical data is important for agencies planning adoption services. The form must be legibly typed and correctly completed; it must also be signed by authorized agency staff who are familiar with the case. Any questions on the instructions can be answered by the state agency adoption section.

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### **Adoption Assistance Certification (SSIS 71); The Summary for Basis for Eligibility (SSIS 72) and Supplemental Adoption Assistance Needs Assessment (SSIS 73) (Model)**

**XIV-2121**

#### **Purpose and Use**

The information required in the Certification, The Summary of Basis for Eligibility, and when required, on the Supplemental Adoption Assistance Needs Assessment, provides the state agency adoption section with the basis to determine the child's needs for adoption assistance.

#### **Number of Copies**

The placing agency must prepare an original for the state agency adoption section and one copy for its case file. When another agency is supervising the child, the placing agency must also provide a copy for the supervising agency record.

#### **General Instructions**

The placing agency must prepare the certification on agency letterhead. The certification must be signed by the designated agency representative. When signed by the child's social worker, the certification must be reviewed and approved by the supervisor. All required supporting documentation must be attached or included with the certification.

**NOTE:** This model is subject to revision. Consult with the state agency adoption section.

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### **Adoption Assistance Agreement (Model)**

**XIV-2122**

#### **Purpose and Use**

The placing agency must use the model to prepare the agreement to specifically state the conditions of the adoption assistance. When the agreement becomes effective, it is used as the working document upon which adoption assistance payments are issued to the adoptive parents, subsequent guardian or conservator.

#### **Number of Copies**

NOTE: The placing agency must first prepare a draft which is sent to the state agency adoption section for review and comment. Upon return of the draft, the placing agency shall prepare six copies of the agreement.

#### **General Instructions**

The agency must have the six copies signed by the designated representative of the placing agency and the adoptive parents. The agreement must also contain the adoptive parents' address.

The agency must then send all six copies to the state agency adoption section. The state agency adoption section must review the agreement for accuracy and completeness and prepare all copies for the Commissioner's approval. Subsequent to the Commissioner's approval, the state agency adoption section must distribute the copies as follows:

1. Placing agency - one copy. (The placing agency must take responsibility for sending a photocopy to the supervising agency.)
2. Adoptive parents - two copies. (The adoptive parents may file one copy with the court at the time the adoption petition is heard.)
3. State agency adoption section - two copies. (One copy is filed into the adoption record and the other sets up an active adoption assistance case on which to review and approve adoption assistance expenses.)
4. Medical Assistance Unit, local social services agency in the county of the adoptive family's residence.

NOTE: This model is subject to revision. Consult with the state adoption section.

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**Notice of Eligibility for Medicaid (ICAMA Form 6.01)**  
**(Interstate Compact on Adoption and Medical Assistance)**

**XIV-2123**

**Purpose and Use**

This form is used by Compact states when a child on Adoption Assistance and Medicaid moves from one state to another. It notifies the new residence state that the child is eligible for Medicaid in the new residence state.

**Number of Copies**

The original is sent to the compact contact person in the new state of residence. The family receives a copy the issuing state files a copy and the adoption assistance paying state, if different than the issuing state, receives a copy.

**General Instructions**

In Minnesota, the form is prepared and issued by the state agency adoption section. See SSM XIV-2124 for information on the accompanying **ICAMA Form 6.02**.

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**Notice of Action (ICAMA Form 6.02)**  
**(Interstate Compact on Adoption and Medical Assistance)**

**XIV-2124**

**Purpose and Use**

This form provides the adoptive family with information and instructions regarding the **ICAMA Form 6.01 Notice of Eligibility for Medicaid** (See XIV-2123)

**Number of Copies**

This form accompanies the **Notice of Eligibility for Medicaid** and has the same distributions.

**General Instructions**

The state agency adoption section uses this form for a child on adoption assistance who moves out of state. This form may be sent from another state when the child and adoptive parents move to Minnesota.

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### **Placing Agency Reimbursement Agreement: Adoption Assistance Program**

**XIV-2125**

#### **Purpose and Use**

The local social services agency may purchase adoption services from a licensed private agency for a child who is certified as eligible for adoption assistance. The Placing Agency Reimbursement Agreement must be on the form prescribed by the Commissioner. The agreement, when approved by the Commissioner, assures reimbursement out of the agency's Subsidized Adoption Program reimbursement budget. The placing agency is responsible for verifying satisfactory completion and may reimburse the vendor agency or request direct payment by the Commissioner. When the Adoption Assistance Program budget is exhausted, the Department will not enter into any new agreements.

#### **Number of Copies**

The placing agency must prepare a copy of the Placing Agency Reimbursement Agreement identifying services and estimated costs agreed upon by the placing vendor agencies.

#### **General Instructions**

Both the placing and vendor agencies must sign the agreement. The placing agency must submit a copy to the Department of Human Services, Adoption and Guardianship Unit, for review and approval. Upon approval by the Department, one copy each is returned to the placing and vendor agencies, one copy is filed with Department Finance for encumbrance of the funds, and one copy is filed in the Adoption and Guardianship Unit.

A copy of the Placing Agency Reimbursement Agreement form may be obtained directly from:

Adoption Assistance Program  
Adoption and Guardianship Unit  
Department of Human Services  
444 Lafayette Road  
St. Paul, MN 55155-3831

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### **Purchase of Service Agreement: Adoption Assistance Program**

**XIV-2126**

#### **Purpose and Use**

The Minnesota licensed child-placing agency may seek reimbursement for adoption service provided for a child who is certified as eligible for adoption assistance. The Purchase of Service Agreement must be on the form prescribed by the Commissioner. The agreement, when approved by the Commissioner, assures reimbursement out of the agency's Subsidized Adoption Program reimbursement budget. The placing agency is responsible for verifying satisfactory completion of the agreement and requesting direct payment by the Commissioner. When the Adoption Assistance Program budget is exhausted, the Department will not enter into any new agreements.

#### **Number of Copies**

The placing agency must prepare a copy of the Purchase of Service Agreement identifying services and estimated costs agreed upon by the placing vendor agencies.

#### **General Instructions**

The placing agency must sign the agreement. The placing agency must submit a copy to the Department of Human Services, Adoption and Guardianship Unit, for review and approval. Upon approval by the Department, one copy each is sent to the placing agency, one copy is filed with Department Finance for encumbrance of the funds, and one copy is file din the Adoption and Guardianship Unit.

A copy of the Purchase of Service Agreement form may be obtained directly from:

Adoption Assistance Program  
Adoption and Guardianship Unit  
Department of Human Services  
444 Lafayette Road  
St. Paul, MN 55155-3831

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### **Report of Termination of Adoptive Placement (DHS 313)**

**XIV-2127**

#### **Purpose and Use**

When the child's adoptive placement ends before legal adoption, the agency supervising the placement must notify the state agency adoption section using this form. This notification is required by Minn. Stat. 257.01 and applies to any agency adoptive placement which is terminated for any reason other than legal adoption.

#### **Number of Copies**

The supervising agency must complete two or three copies of this form.

#### **General Instructions**

Complete and submit this form to the state agency adoption section within five working days after the adoptive placement is terminated. Upon receipt, the state agency adoption section must note the child's change of status and follow up with the agency as appropriate.

The supervising agency must retain a copy in its agency record and send a copy to the placing agency if it is an agency other than the supervising agency.

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**Information for Attorney to File Petition for Adoption (DHS 0329)**

**XIV-2128**

**Purpose and Use**

The state agency adoption section or the supervising agency must send this form to the adoptive family's attorney or the adoptive family who uses it to prepare the adoption petition, the findings of fact, and the adoption decree.

**Number of Copies**

The form must be prepared in triplicate on each child placed in the adoptive home, even though more than one child may be included on one adoption petition.

**General Instructions**

The agency must send the original to the attorney or family. One copy must be filed with the state agency adoption section and one copy must be filed in the supervising agency's adoption record.

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### Report to Court: Petition for Adoption (DHS 188)

XIV-2129

#### Purpose and Use

This report is provided as a service to the court and is prepared for the judge's consideration alone. It assists the judge in making a determination on an adoption petition. Under Minn. Stat. 259.27, the Commissioner or the agency must make the report to the court to verify the allegations in the petition, determine that the child is a proper subject for adoption, and that the child and home are suited to each other.

This document becomes a permanent part of the confidential adoption records in the court, the agency, and the state agency adoption section.

#### Number of Copies

The supervising agency must prepare this form in triplicate. The agency must retain a copy in the agency record. One copy must also be retained in the state agency adoption section record. The original must be submitted to the court by either the Commissioner or agency designated by the court pursuant to Minn. Stat. 259.27.

#### General Instructions

##### Verifications from Legal Documents or Court Records

Verifications must be made from public records or from viewing legal documents. Verifications from public records, including the State Department of Health records and Clerk of Court records, must be so stated. Legal documents held by the petitioners or held by the agency must be viewed by the worker. The items which are asterisked [\*Verification must be stated "Worker Viewed Documents"; on file; or name or list the document numbers, if any] below must be verified on the **Report to Court (DHS 188)**.

#### ADOPTIVE PARENTS

#2 and #3     The agency must obtain these verifications from the petitioners and state "Petitioner's Statement".

#12           \*Present marriage must state date (month, day, year), place and source of verification (i.e., name of court and registration number or worker viewed marriage certificate).

NOTE: A marriage license is permission to marry and does not constitute proof that the marriage occurred. The document of proof reads "marriage certificate".

#13           \*Husband's previous divorces or death of former spouse must state name(s), date (month, day, year), place and source of verification (i.e., the name of court and the file number, or what document the worker viewed, i.e., death certificate, divorce decree).

#14           \*Wife's previous divorces or death of former spouse must state name(s), date (month, day, year), place and source of verification. (See also #13 above)

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#### RESIDENCE

- #15-#16 It is important to complete the petitioner's former address when one or both have not resided more than one year at the current address. Minn. Stat. 259.22, subd. 1 requires a one-year residence in the state unless specifically waived by the court.

#### OTHER CHILDREN

- #17 List all children of both spouses regardless of age or living arrangement. This information gives the court an overview of the family makeup. The agency must attach an extra sheet listing additional children when the space allowed is insufficient. Do not list the child to be adopted.

#### ECONOMIC SITUATION

- #18-#24 This information is important to the court in determining that the petitioners are self-sufficient and able to support the child. In many stepparent families one parent may have child support obligations.

#### CHILD TO BE ADOPTED

- #25-#27 \*Name of child, birthdate, birthplace, and birth status. The Source of Verification must, in most instances, be stated as "Birth Certificate" or "File" as the court is required to have a certified copy. The state agency adoption section or agency making the **Report to Court** on agency placement must attach a certified copy of the birth certificate.
- The agency must retain a photocopy of the birth certificate in its adoption file as proof of verification. The statement of verification on the **Report to Court** form may state the name of the specific state health department and registration number. In that event, the agency must have viewed the document before completing items 25-27 on the **Report to Court** form.
- #33 Date of child placed in home must be: date the child was placed for foster care in the home if adoption originated from foster care; date of adoptive placement on agency placements; date of marriage in stepparent adoptions; or date the child arrived in the home of a relative or direct placement.
- #34 On agency placements, the agency must always state the name of the Minnesota placing agency, along with any other out of state agency or name of other country agency if that is the case.
- #35 Child's estate requires verification. The agency must state the information as accurately as possible.

#### CHILD'S LEGAL STATUS (complete only applicable areas)

The following sets of numbers represent various types of legal documents which support whether the child is a proper subject for adoption or not. The agency will complete only one set as follows:

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Court Appointed Guardian - An agency or individual is the court appointed guardian:

#36-#39      \*This information must be obtained from the copy of legal documents on file in the agency record. Verifications, in most instances, must state the title of the document or "On File". The agency must attach certified copies to the **Report to Court**.

NOTE: In instances where the petitioners retain the legal documents on a child received from another country, verification of #36 - #39 must state the title of the document with an asterisk to other information such as "Petitioners have legal documents in their possession; a photocopy is attached to the **Report to Court**."

Court Assigned Custody - An individual or agency has legal custody of a child on whom there has been no termination of parental rights but there may have been a divorce decree.

#40-#41      \*The information must be obtained from viewing the legal custody papers either in the agency file or petitioners' possession. Legal custody orders do not terminate parental rights. Unless a court has terminated parental rights, the child's parent's consent is required. Verification should state the name of the document such as "Divorce Decree" or "**Consent to Adoption**." On any consent required to be executed before an agency representative, the agency must attach the original copy to the Report to Court.

Release to Agency

#42-43      \*The parent(s) have released the child to a licensed child-placing agency:  
\*The date of the relinquishment must be the date it is signed by the parent. The verification must state the name of the document or "On File". The original copy of the document must be attached to the **Report to Court**.

Direct Consent

#44-45      The parent(s) have consented to adoption by petitioners directly. Verification must state: consent(s) part of petition on file, or consent(s) attached to the **Report to Court**.

#46      The minor parent(s)' parent(s) gave consent to adoption when minor parent(s) is under the age of 18. Verification must state: consent(s) part of petition on file, or consent(s) attached to the **Report to Court**.

Child Over 14 Years of Age:

#47      \*The date must be the date the child executed the consent. Verification must indicate that the consent part of petition is on file or that the consent is attached to **Report to Court**.

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#### CHILD'S PARENTAGE

The agency must state the identities of the child's most recent legal parents who are named on the birth certificate or court documents. These parents may be the birthparent(s), adoptive parent(s) or legal parent (as on the birth certificate). When the parent is "alleged", "acknowledged" or "legal", circle the correct term. Complete items #48-57 as accurately as possible. If the information is unknown, type in "unknown".

#55-57      \*The agency must indicate the marital status on the parents at the time child was released for adoption. Divorces or deaths must be verified as marital status may have a bearing on whether the child is a proper subject for adoption. The source of verification statement must be a copy of the document itself viewed by worker or a statement on where the document is filed and the file number.

#### Other Information

The agency must enter into this space other verifications or lack of verifications not shown in the above items. The agency must also note any discrepancies between the above verifications and the allegations in the petition.

#### Evaluation

This section of the report provides the judge with a summary of the suitability of the child and the petitioners to each other. The evaluation must address the following:

1. the level of adaptation by the prospective adoptive parents to parenting the child;
2. the health and well-being of the child in the prospective adoptive home;
3. the level of incorporation by the child into the prospective adoptive parents' home, extended family, and community; and
4. the level of inclusion of the child's previous history into other prospective adoptive home, such as cultural or ethnic practices, or contact with former foster parents or biological relatives.

#### Recommendation, Certification, and Signature

The agency recommends approval or denial of the adoption petition. Local social services agency recommendations for denial must be reviewed by the county or human services board.

**The authorized agency official signs the Report to Court (DHS 188). When the local agency sends a report on a petition directly to the court, the agency attaches, on agency letterhead, a separate recommendation to the court.**

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### **Certificate of Adoption (DHS 0173)**

**XIV-2130**

#### **Purpose and Use**

This document, when certified by the Clerk of Court, is used by the State Department of Health, Section of Vital Statistics, to prepare and issue a replacement birth certificate in the child's adoptive name.

The partially completed form is presented to the Clerk of Court by the local social services agency, or the licensed adoption agency, or in instances when the child is foreign-born or a relative of the petitioners, by the petitioners' (adoptive family's) attorney.

#### **Number of Copies**

An original and one or two copies are required.

On agency placed children, including foreign-born children, the supervising agency retains a copy when it initiates the form. The State Department of Health will retain the original when it prepares the new birth certificate.

#### **General Instructions**

##### **PART I: Adoptive Parents**

The agency, or petitioners, must complete Part I to provide information on the adoptive parents as of the date the adopted child was born. On agency placements, this information is certified by the person signing on behalf of the agency. In other situations, the petitioners or their attorney may sign to certify the statements made in this section.

##### **PART II: Child and Natural Parents Information**

The agency, or petitioners, must ensure that the information in this section coincides with the information contained on the child's original birth certificate or previous adoption birth certificate. On agency placements this information is certified by the agency completing this section. In non-agency adoptions, the petitioners or their attorney may sign to certify the statements made in this section.

##### **PART III: Clerk of Court**

The Clerk of Court must certify the legal adoption on this form after the adoption decree is filed. The Clerk of Court, on agency placed U.S. born children, submits this document with the appropriate fee to the appropriate State's Department of Health. In adoptions involving stepparent, relative and foreign-born children, the petitioners' attorney submits the document with the fee to the appropriate State's Department of Health.

##### **PART IV: Application for Certified Copy**

The agency must usually state the name and address of the petitioners' attorney in this section or, if there is no attorney, the petitioners' name and address. Space is provided for any special instructions on where to send the certified copy of the replacement birth certificate.

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The agency, on an agency placed child, must advise the petitioners' attorney that the form is being sent with the other documents to the Clerk of Court for certification before it is sent to the State Department of Health, Section of Vital Statistics.

NOTE: The state agency adoption section maintains a file on the replacement birth certificate forms used by other states, U.S. territories, and the provinces of Canada. Many states will accept Sections I, II and III but with their respective instructions. The **Certificate of Adoption (DHS 0173)** form may be obtained from the Department of Human Services, Forms Supply Unit.

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**Affidavit of Agency Service and Statistical Data (DHS 2251)**

**XIV-2131**

**Purpose and Use**

This form is used on postadoption searches for birth parent(s) when the adopted person seeks the information on the original birth certificate.

This form: 1. certifies that the agency has completed its responsibility to search for and notify the parent named on the original birth certificate, and 2. provides statistical information on the search.

**Number of Copies**

This form is a carbonless set of three pages.

**General Instructions**

The state agency adoption section sends this form to the agency assigned to do the search. The agency must complete and submit the form to the state agency adoption section within the six months time assigned for the search and notification.

The agency must complete and notarize the three copies of the form. The agency must retain the yellow copy for its record and send the original and green copy to the state agency adoption section. The state agency adoption section must complete its work on the form and send the original to the Minnesota Department of Health for completion.

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**Affidavit of Disclosure or Non-Disclosure Re: Original Birth  
Record of an Adopted Child**

**XIV-2132**

**Purpose and Use**

This affidavit provides the information required in Minn. Stat. 144.1761 and 259.49 for a birth parent to file a consent to disclose the original birth certificate or to deny such disclosure. The birth parent may file the affidavit at any time and may reverse the decision by filing a subsequent affidavit with the Minnesota Department of Health.

**Number of Copies**

Only one copy is required which must be signed, notarized and filed with Minnesota Department of Health.

**General Instructions**

The agency may duplicate this form to give to birth parent(s). The agency must also explain to the birthparent(s) that this document allows the release of the information or refuses release of the birth certificate information to the adopted adult. The birth parent(s) must send the document to the Minnesota Department of Health.

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**Letter of Petition to Court to Open a Record (Model)**

**XIV-2133**

**Purpose and Use**

The petition outline is designed to help the adopted adult draft a letter of petition to the court requesting that a sealed record be opened. This petition outline may need to be adapted when the adopted adult or another person, such as adoptive parents, or birth parents petition the court for access to sealed records, such as court's adoption record or original birth certificate record.

**Number of Copies**

An original and one copy should be prepared. The original letter is mailed or brought to the court by the petitioner. The petitioner retains a copy.

**General Instructions**

The petitioner bears the burden of stating all the reasons why the court should consider granting the request. Upon receipt of the petition, the court will determine whether it has sufficient information to grant or deny the request. The court may request additional information from the petitioner or an agency.

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**Affidavit of Genetic Parent Whose Child is Placed After July 31, 1982 (Model) XIV-2134**

**Purpose and Use**

This affidavit is used at the time the birth parent releases a child for adoption. It is a model of the information the agency must review with the birth parent before the birth parent signs it. The affidavit documents that the birth parent has received the information. It allows the agency to release certain identifying information to the adopted person as an adult unless the birth parent files an Affidavit of Objection.

**Number of Copies**

There must be an original and one copy. The original is filed in the agency record and the copy is given to the birth parent.

**General Instructions**

The model may be printed on agency letterhead and photocopied as needed. The affidavit must be signed by the birth parent before a notary.

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**Interstate Compact Application Request to Place Child  
(ICPC 100A) (DHS 1542a)**

**XIV-2135**

This form is used for adoptive placements of children across state lines within the 50 states and U.S. territories. The sending agency completes the form.

The **Interstate Compact Application to Request to Place a Child (ICPC 100A) (DSH 1542a)** is the formal written notice from the sending state to the receiving state stating its intention to make an interstate placement. The form is also used to request the receiving state to determine whether the placement would or would not be contrary to the child's interests.

**Number of Copies**

Please complete one form per child, and submit five (5) copies of each. See SSM XIV-1670 for the packet of additional forms to be submitted with this form.

**General Instructions**

Please type the form and submit with three (3) copies of the packet of additional forms.

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#### Interstate Compact Report on Child Placement Date or Status (ICPC 100B) (DHS 1542b)

XIV-2136

##### Purpose and Use

This form is completed by the sending agency after an interstate adoptive placement has been approved and after the placement has occurred. The form serves as official notification for the receiving state to begin supervision of the placement. The form is also used to indicate placement changes and to close the case, thus ending supervision by the receiving state.

##### Number of Copies

Complete four (4) copies of the form. The sending agency retains one (1) copy and forwards three (3) copies to the sending state's compact administrator. This individual keeps one (1) copy and forwards one (1) copy each to the receiving state's compact administrator and the receiving agency.

##### General Instructions

Submit the **Report of Adoptive Placement (DHS 0178)** with this form, if it has not already been sent. (See XIV-2120 for form and instructions) In general, the same individual who submits the **Interstate Compact Application to Request to Place a Child (ICPC 100A) (DHS 1542a)** and associated form should also complete this form after the placement has been made. (See SSM XIV 2135 for form and instructions for the 100A).

This form is used in two main instances:

1. when placement status has changed, and
2. when the compact is terminated. The compact may be terminated for a number of reasons, including: the finalization of an adoption, a transfer of legal custody, the completion of treatment in the receiving state, or other cause for the termination of jurisdiction by the sending state.

For changes in placement status:

- If a pending referral is no longer needed, check the area marked "Placement Request Withdrawn" and indicate the date of withdrawal.
- When a child is placed in an approved placement, the section marked "Initial Placement With" should be completed.
- If there is a change in placement, the section marked "Placement Change" should reflect this change. Please note that a new referral packet must be sent to evaluate a new placement prior to a placement change.

For compact termination:

- When a placement will no longer be used, or an ICPC case is no longer necessary, the form must be sent to advise the receiving state of the termination date, and to officially discontinue services by the receiving agency.

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### **Adoption Study Report Designated Format (DHS 3201)**

**XIV-2137**

This is the Commissioner's designated format for use in writing home studies for families who wish to adopt in Minnesota.

#### **Number of Copies**

Prospective adoptive parents may request and may receive a summary report on their suitability as adoptive parents. This summary report shall be used only for purposes mutually agreed upon by the adoption agency and the prospective adoptive parents. The purposes and dates of the summary report shall be clearly stated on the report. (Minn. Stat. 259.27, subd. 3a)

#### **General Instructions**

The outline layout presented here does not preclude the adoption agency from writing in a more narrative style, if preferred. However, all of the components present in the format must be included, if applicable, to the individual family. Agencies may include other relevant information as necessary and appropriate.

The format includes information about the prospective adoptive family, the likelihood of their ability to parent the type of child(ren) they intend to adopt, their support systems, and information about the type of child they prefer.

Additional sections (included in the designated format) are required if there is to be an adoption by foster parents or relative caregivers. A previously completed foster care study (and any updates) may be attached to the adoption study report. However, the complete document (adoption study report and foster care study) must contain all of the information required in this format.

The last page of the format contains an outline for updating a previous adoption study. This update outline is to be used:

1. after a year or more has passed since the last adoption study or update was completed;
2. following a dramatic change in family circumstances (i.e., birth, death, divorce, illness) that affects the family's ability to care for an adopted child; or
3. after the family has adopted a child, if they wish to be considered for future adoptions.

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#### **Financial and Medical Plan (ICPC MN 9198)**

**XIV-2138**

##### Purpose and Use

This form is submitted at the time a request is made to place a child for adoption, across state lines within the 50 states and U.S. territories, through the Interstate Compact on the Placement of Children (ICPC). Its purpose is to establish the medical and financial plan for the child, the child's legal status, and to provide an emergency contact. The sending agency completes the form.

##### Number of Copies

Submit three (3) copies of this form for each child when submitting the **Interstate Compact Application Request to Place Child (ICPC 100A) (DHS 1542a)**. (See SSM XIV-2135 for form and instructions). An entire packet of additional forms must be submitted along with this form. Please see SSM XIV-1670 for details.

##### General Instructions

The agency may duplicate this form or print it on agency letterhead.

Notwithstanding completion of this form, the sending agency remains ultimately responsible for the support of the child(ren) as mandated by the ICPC (Article 5). It shall continue to have financial responsibility for the support and maintenance of the child(ren) during the period of placement. In the event of justifiable need to return the child(ren), the sending agency will pay the transportation cost, and expects the full cooperation of the receiving state to accomplish this return. This plan will be in effect until proper legal discharge, consistent with the provision of the Interstate Compact on the Placement of Children.

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#### Background and Health History (DHS 3235)

XIV-2139

##### Purpose and Use

This form is a tool to collect important information on children in out-of-home care. Conscientious efforts to obtain and record information in this booklet will benefit the child and the child's caregivers. When a child enters out-of-home care, this vital information is often lost. When the information cannot be given to a temporary or permanent caregiver, the child suffers. Agencies are obligated to make every effort to collect this valuable information at the earliest opportunity, even if they believe the child will be leaving out-of-home care shortly.

This form should be accompanied by **Report on Child's Current Physical Examination (DHS 3381) (SSIS 60)**, **Outline for Health and Social History Narrative (DHS 3382) (SSIS 61)**, and the **Child's Health History and Physical Examination (DHS 3380) (SSIS 59)**. (See SSM XIV-2140, XIV-2141 and XIV-2142 for forms and instructions)

The form **Birth Parent Social and Medical History (DHS 3205) (SSIS 67)**, and its counterparts should accompany this form whenever possible. (See SSM XIV-2143 for form and instructions)

##### Number of Copies

State law requires that specific health and social history information be given to a child's adoptive parents or other permanent caretakers.

##### General Instructions

Section A (Identifying Information on Child/Identifying Information on birth Family) contains identifying information about the child and the child's family and, as such, should not be given to the adoptive parents or permanent caretakers. (Minn. Stat. 259.43 requires that the identity of the child's parents be protected when health and social history information is given to adoptive parents.)

Sections C and D (Non-Identifying Information on Child/Child's behavior Checklist) contain non-identifying information and may be photocopied or given directly to adoptive parents or the permanent caretakers.

Once again, it cannot be emphasized enough that this information must be gathered from the first instance in which a child is placed in out-of-home care.

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**Report on Child's Current Physical Examination (DHS 3381)**

**(SSIS 60)**

**XIV-2140**

**Purpose and Use**

This form is to be completed by an examining physician regarding the child's current health status based on a current physical examination. The child's most recent physical may be attached to the form but all the information required on the form must still be included.

This form accompanies **Background and Health History (DHS 3235)**. (See SSM XIV-2139 for form and instructions)

**Number of Copies**

Note that parental consent (on the reverse side of the form) is required for release of this information to an agency.

**General Instructions**

The form should be signed on the reverse side by the child's physician. All sections should be completed, including immunization information on the reverse side of the form.

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**Outline for Health and Social History Narrative (DHS 3382) (SSIS 61)**

**XIV-2141**

**Purpose and Use**

This outline is the suggested format for summarizing the child's health and social history information. This form should accompany **Background and Health History (DHS 3235)**. (See SSM XIV-2139 for form and instructions) The forms must not substitute for one another.

**Number of Copies**

When completed, the summary is to be given to the child's permanent caretaker.

**General Instructions**

The outline layout presented here does not preclude the agency from writing in a more narrative style, if preferred. However, all of the components present in the format must be include, if applicable to the individual family. Agencies may include other relevant information as necessary and appropriate.

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**Child's Health History and Physical Examination (DHS 3380) (SSIS 59)**

**XIV-2142**

**Purpose and Use**

This form is to be completed by medical personnel regarding the child's health history (back to the time of birth) and any medical conditions still relevant to the child's health at present.

This form should accompany the **Background and Health History (DHS 3235)**. (See SSM XIV-2139 for form and instructions)

**Number of Copies**

Note that parental consent (on the reverse side of the form ) is required for release of this information to an agency.

**General Instructions**

This document contains 3 pages.

The health professional completing the form must sign on page 3.

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#### Birth Parent Social and Medical History (DHS 3205) (SSIS 67)

XIV-2143

##### Purpose and Use

This form is used to gain important social and health history information about a child's birth family. It is to be used, to the extent possible, in all out-of-home placement situations, and is of particular importance in cases in which there is a concurrent permanency planning case open, or whenever a termination of parental rights petition will be pursued.

This form should be submitted with the **Background and Health History (DHS 3235)** form and its counterparts, whenever feasible. (See SSM XIV-2139 for form and instructions)

Whenever possible, the **Child's Discharge Examination (DHS 3383) (SSIS 62)** and the **Hospital Discharge Report DHS 3384) (SSIS 63)** should accompany this form. (See SSM XIV-2144 and XIV-2145 for forms and instructions)

##### Number of Copies

State law requires that specific health and social history be given to a child's adoptive parents or other permanent caretakers. The collection and transfer of information is extremely important for identifying and meeting the child's needs.

The adoptive parents get the original copy. One copy each goes to:

- the birth parent'
- the agency or attorney's file;
- the court.

##### General Instructions

The agency should facilitate completion of the form by the birth family.

This form does not contain identifying information in order to protect the privacy of the birth family.

Please note there are separate sections for birth mother and birth father.

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**Child's Discharge Examination (DHS 3383) (SSIS 62)**

**XIV-2144**

Purpose and Use

This form communicates information to the adoptive parents about the child's physical status at the time of discharge from the hospital following birth.

The form should be completed along with the **Birth Parent Social and Medical History (DHS 3205) (SSIS 67)**. (See SSM XIV-2143 for form and instructions)

Number of Copies

General Instructions

To be completed by hospital personnel.

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**Hospital Discharge Report (DHS 3384) (SSIS 63)**

**XIV-2145**

Purpose and Use

This form communicates information to the adoptive parents about the birth mother's pregnancy and the delivery , as well as a physical examination of the child at birth.

The form should be completed along with the **Birth Parent Social and Medical History (DHS 3205) (SSIS 67)**. (See SSM XIV-2143 for form and instructions)

Number of Copies

General Instructions

To be completed by hospital personnel.